

## Contract File Checklist

It is the responsibility of each agency to ensure all contractual obligations are met and contract monitoring is documented. This checklist serves as a tool to assist the agency during that process. *(Include in the contract monitoring folder/binder.)*

**Completed By:** \_\_\_\_\_ **Department:** \_\_\_\_\_

**Contract Number:** \_\_\_\_\_ **Contract Begin/End Date:** \_\_\_\_\_

**Name of Vendor / Contractor:** \_\_\_\_\_

**Contract Manager:** \_\_\_\_\_

Contract Management Activities	YES	NO	N/A
<b>General</b>			
Does the contract file contain a copy of the signed, executed current contract?			
Does the contract file contain the contract term and renewal information? Signed renewals?			
Does the contract file have a copy of all attachments listed in the contract?			
Does the contract file have all amendments, modifications?			
Does the contract file contain contact information and a call log for Contractor's key personnel?			
Does the contract file contain a problem escalation listing for the Contractor?			
Does the contract file clearly state the Contractor's "Legal Notices" address?			
Does the contract file indicate that a copy of the insurance certificate was obtained and is on file?			
Does the contract file contain any necessary licenses, certifications, etc.?			
Does the contract file contain all warranty information?			
Does the contract file contain all specifications, drawings or manuals incorporated into the contract by reference?			
Does the contract file contain a list of contractor submittal requirements?			
Does the contract file contain a list of all information furnished to the contractor?			
Does the contract file contain a list of government furnished property or services?			
Does the contract file contain all general correspondence related to the contract?			
Does the contract file contain originals of all contractor data or report submittals?			
<b>Timeline</b>			
Has a Contract Monitoring timeline been developed for all activities required under the contract? This might include but not limited to: Dates for completing and submitting reports to the Project Manager and/or Administrative Offices.			

## Contract File Checklist

Contract Management Activities – Cont.	YES	NO	N/A
<b>Project Monitoring</b>			
Has a Project monitoring plan been developed, based on contract specifications or other applicable project or programmatic requirements?			
Does the contract file have all notices to proceed, to stop work, to correct deficiencies, or change orders?			
Does the contract file have all letters of approval pertaining to such matters as materials, the contractor's quality control program, prospective employees, and work schedules?			
Does the contract file have the records/minutes of all meetings, both internal and external? Include sign-in sheets and/or agendas?			
Does the contract file have all monitoring reports, contract manager's status to supervisor, site visits, desk reviews, and expenditure documentation reviews?			
Does the contract file have all records of complaints and vendor disputes?			
<b>Fiscal Monitoring</b>			
Has a fiscal monitoring plan been developed based on contract specifications or other applicable fiscal requirements? Details would include but not be limited to payment schedules, progress payments made and/or due, or other payment due dates, as required under the contract?			
Has a plan been developed to do periodic monitoring of contract pricing (PO and P-card)?			
Does the contract file have all backup documentation for contractor payment or progress payment and copies of any audits?			
Does the contract file have all contractor invoices, information relative to discount provision for prompt payment, letters pertaining to contract deductions or fee adjustments?			
Ensure the contract authorized total dollar value has not been exceeded			
<b>Corrective Action Plan</b>			
Has a Corrective Action Plan been developed to deal with any contract issues that might arise between the contractor and the Agency? A corrective action plan should include complete contact information for the Agency and the Contractor and establish guidelines agreed to by both parties regarding escalation of issues to the next level of authority, should problems be encountered.			
<b>Reporting</b>			
Have periodic reviews been setup within this contract to discuss spend, customer service, pricing issues, billing and invoicing, etc.			
Does the contract file have all routine reports required by the contract such as sales reports, pricing schedules, approval requests, inspection reports and performance reports			

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Contract Management Activities – Cont.	YES	NO	N/A
<b>Contract Close-out</b>			
Determine that the contractor has satisfactorily performed all required contractual obligations			
Conduct a post contract evaluation and the contract close-out procedures. Ensure process is documented			
List of Stakeholders	YES	NO	N/A
Does the contract file contain the names and contact information for all major stakeholders in this project?			
A “stakeholder” is an individual or department that has had input into the development of the contract, and who would need to be notified at once should there be problems, proposed amendments (including cost or price changes), changes in the scope of work or schedule of deliverables, changes to the agreed upon timeline, decisions to exercise cancellation clause, decision to exercise options to renew and the like.			
Stakeholders would include: <ul style="list-style-type: none"> <li>- Departmental Head</li> <li>- Purchasing Officer</li> <li>- Purchasing or Contract Specialist</li> <li>- Project or Program Manager</li> <li>- Budget Account Manager</li> <li>- Contract Manager</li> <li>- Contract Administrator</li> </ul>			

Signature of Responsible Party \_\_\_\_\_ Date \_\_\_\_\_